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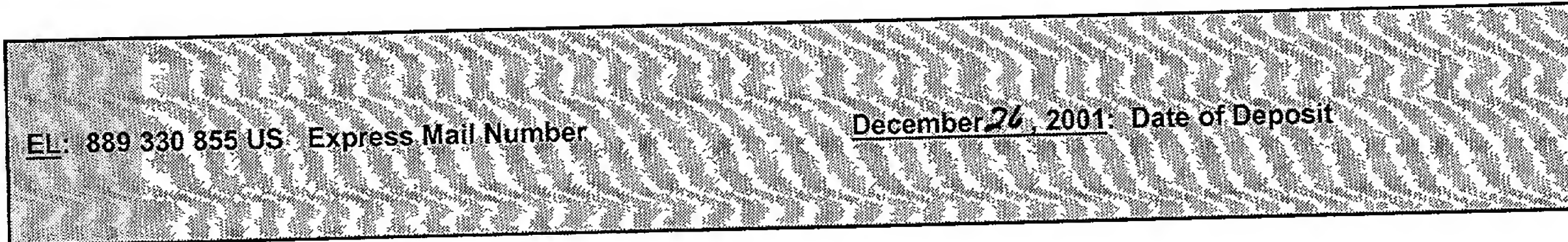
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12/26/01
JC962 U.S. PTO

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Attorney Docket P3030R1C9
PATENT

JC978 U.S. PTO
10/036150
12/26/01



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION
Assistant Commissioner of Patents
Washington, D.C. 20231

NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

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Title: SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS
ENCODING THE SAME

1. Type of Application

- ☐ This application is for an original, non-provisional application.
- ☐ This is a non-provisional application claiming priority to provisional application no. __, filed __, the entire disclosure of which is hereby incorporated by reference.
- ☒ This is a continuation application claiming priority under 35 USC §120 to US serial number 09/931836 filed 8/16/01 which claims priority under 35 USC §120 to U.S. serial numbers: 09/311832 Filed 5/14/99; 09/380142 Filed 8/25/99, now abandoned; 09/644848 Filed 8/22/00; 09/747259 Filed 12/20/00; 09/816744 Filed 3/22/01; 09/854208 Filed 5/10/01; 09/854280 Filed 5/10/01; 09/874503 Filed 6/5/01; 09/869599 Filed 6/29/01; 09/908,827 Filed 7/18/2001; and which claims priority under 35 U.S.C. §120 to PCT international application numbers: PCT/US99/10733 Filed 5/14/99; PCT/US99/28551 Filed 12/2/99; PCT/US99/30720 Filed 12/22/99;

10. Maintenance of Copendency of Prior Application (for continuation and divisional applications)
*[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

_____ A petition, fee and/or response has been filed to extend the term in the pending prior application until
_____ A copy of the petition for extension of time in the **prior** application is attached.

11. Correspondence Address:

X Address all future communications to:

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Registration No. 33,055 - CUSTOMER NO. 30,313
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Telephone: (415) 217-8381

Respectfully submitted,
GENENTECH, INC.

Date: December 26, 2001

By: Elizabeth M. Barnes
Elizabeth M. Barnes, Ph.D.
Reg. No. 35,059
Telephone No. (650) 225-4563



09157

PATENT TRADEMARK OFFICE

PCT/US00/05601 Filed 3/1/00; PCT/US00/05841 Filed 3/2/00; PCT/US00/14042 Filed 5/22/00; PCT/US00/15264 Filed 6/2/00; PCT/US00/23522 Filed 8/23/00; PCT/US00/23328 Filed 8/24/00; PCT/US00/32678 Filed 12/1/00; PCT/US00/34956 Filed 12/20/00; PCT/US01/06520 Filed 2/28/01; PCT/US01/17800 Filed 6/1/01; PCT/US01/19692 Filed 6/20/01; PCT/US01/21066 Filed 6/29/01; PCT/US01/21735 Filed 7/9/01; and which claims priority under 35 USC § 119 to US provisional application numbers: 60/085579 Filed 5/15/98; 60/112514 Filed 12/15/98; 60/113300 Filed 12/22/98; 60/113430 Filed 12/23/98; 60/113605 Filed 12/23/98; 60/113621 Filed 12/23/98; 60/114140 Filed 12/23/98; 60/115552 Filed 1/12/99; 60/116843 Filed 1/22/99; 60/125774 Filed 3/23/99; 60/125778 Filed 3/23/99; 60/125826 Filed 3/24/99; 60/127035 Filed 3/31/99; 60/127706 Filed 4/5/99; 60/129122 Filed 4/13/99; 60/130359 Filed 4/21/99; 60/131270 Filed 4/27/99; 60/131272 Filed 4/27/99; 60/131291 Filed 4/27/99; 60/132371 Filed 5/4/99; 60/132379 Filed 5/4/99; 60/132383 Filed 5/4/99; 60/135750 Filed 5/25/99; 60/138166 Filed 6/8/99; 60/144791 Filed 7/20/99; 60/146970 Filed 8/3/99; 60/162506 Filed 10/29/99; the entire disclosures of which are hereby incorporated by reference.--

2. **Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Non-provisional)**

170 pages of specification
4 pages of claims
1 page(s) of abstract
46 sheet(s) of drawings
☒ formal ☐ informal

3. **Declaration or Oath**

(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)
 ___ An executed declaration of the inventor(s) ☐ is enclosed ☐ will follow.

(for Cont./Div. where inventorship is the same or inventor(s) being deleted)
X A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

(for Cont./Div. where inventor(s) being deleted)
 ___ A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

4. **Assignment**

(for new and CIP applications)
 ___ An Assignment of the invention to GENENTECH, INC. ☐ is enclosed with attached Recordation Form Cover Sheet ☐ will follow.

(for cont./div.)
X The prior application is assigned of record to Genentech, Inc.

5. Amendments (for continuation and divisional applications)

_____ Cancel in this application original claims ____ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

X A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

6. Fee Calculation (37 CFR 1.16)

The fee has been calculated as follows:

| CLAIMS FOR FEE CALCULATION | | | | | |
|---------------------------------------|----|--------------|---|------------|-----------------------------|
| Number Filed | | Number Extra | | Rate | Basic Fee 37 CFR 1.16(a) |
| | | | | | \$710.00 |
| Total Claims | 20 | - 20 = | 0 | X \$18.00 | \$0.00 |
| Independent Claims | 3 | - 3 = | 0 | X \$80.00 | \$0.00 |
| — Multiple dependent claim(s), if any | | | | + \$270.00 | \$0.00 |
| Filing Fee Calculation | | | | | \$710.00 |

7. Method of Payment of Fees

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$710.00. **A duplicate copy of this transmittal is enclosed.**

8. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

9. Additional Papers Enclosed

☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations

☒ Submission of electronic and paper copy of Sequence Listing. I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.

☒ Other: Post card.